DOCUMENT RESUME

ED 139 318 HE 008 914

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TITLE Assessing Institutional Faculty Growth and Development Dynamics.
PUB DATE May 77
NOTE 23p.; Paper presented at the Association for Institutional Research Annual Conference (Montreal, Quebec, Canada, May 9, 1977)

EDRS PRICE MF-$0.83 HC-$1.67 Plus Postage.
DESCRIPTORS *College Faculty; *Educational Development; Faculty; Faculty Evaluation; Faculty Mobility; Growth Patterns; *Higher Education; Individual Development; Institutional Role; Job Development; Needs Assessment; *Objectives; *Personal Growth; Self Actualization; *Self Concept; Vocational Development

ABSTRACT

The concept of planning for the most effective utilization of faculty resources in higher education is beginning to receive prominent attention. Factors contributing to the current interest include decreased mobility for faculty, pressures for accountability, accent on student learning, research on faculty members, and concerns for integrating the individual and the organization. The research design presented in this 1973 paper expands on R. G. Simerly's design in an attempt to study various dimensions of faculty growth and development, and also investigates the process components of the personal, professional, and organizational dimensions of faculty members' roles. The purpose of the study is to gain new insights into the factors that contribute to or stand in the way of the professional growth and development of academicians. It is anticipated that an improved understanding of the interaction between professional faculty members and universities will be helpful to institutional researchers, administrators, and faculty members who are interested in designing environments that lead to the maximization of all institutional resources, especially faculty members. (Author/JMF)

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ASSESSING INSTITUTIONAL FACULTY GROWTH AND DEVELOPMENT DYNAMICS

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Paper Presented at the Annual Forum of the
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Montreal, Quebec, Canada

May 9, 1977

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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ASSESSING INSTITUTIONAL FACULTY GROWTH AND DEVELOPMENT DYNAMICS

Before 1973, the concept of planning for the most effective utilization of faculty resources in higher education had not received prominent attention. However, since 1973 it is estimated that over 500 faculty development programs have been initiated in our nation's 2,792 colleges and universities. These faculty development programs take many forms. For example, the IDEA faculty development program at Kansas State emphasizes giving instructors course evaluation data. Gordon College has initiated individual growth contracts for its faculty. The Center for Instructional Development at Syracuse University focuses on improved methods of instruction. Other colleges send faculty to workshops on faculty development or they institute faculty development workshops within their own institution. The College Center of the Finger Lakes has been active in this respect.

The current interest in faculty development has occurred primarily because of the following reasons:

1. Decreased Mobility for Faculty--Because there are more college professors qualified for positions than there are positions available, professors are experiencing fewer opportunities for moving from one institution to another. As a result, in order to plan for change, educational leaders within institutions are beginning to consider how best to ensure that faculty members engage in self-renewal so that they can actively contribute to the goals and objectives of their institutions.

2. Pressures for Accountability--As a result of tight budgets for higher education throughout the country, state legislatures, boards of trustees, and the multiple publics served by higher education are beginning to demand that institutions actively demonstrate that their faculty are responsive to the needs of the institution and to the needs of students. Faculty development efforts are a visible way to accomplish this.
3. Accent on Student Learning--While people at many levels are demanding accountability, one of the main thrusts has been accountability for student learning. Cross (1975) views "accent on student learning" to be the phrase of the 70's in higher education. In the 50's the theme was accent on selection; in the 60's the theme was accent on access.
4. Research on Faculty Members--Since 1960 higher education has increasingly become a legitimate academic area of study within colleges of education. As a result, the data base about faculty members in higher education is constantly expanding. A major focus of this research is concerned with how faculty members grow and develop in their professional roles.
5. Concerns for Integrating the Individual and the Organization--Inasmuch as current management literature has emphasized the necessity for integrating the needs of the individual and the organization, there has been an increased concern for such integration. McGregor, Argyris, Bennis, and Likert are among those who have helped educational leaders conceptualize the need for this complex integration.

The number of writers who have begun to contribute to the information base about faculty development has grown steadily in the last five years.

Simerly (1973) is among those who have studied various dimensions of faculty growth and development. Diagram I shows his 1977 conceptualization of the component parts of a faculty person's roles. Simerly contends that it is essential to consider these dimensions when viewing the complex interaction between faculty members and the academic organizations in which they work.

The research design presented in this paper expands on Simerly's initial study and also investigates the process components of the personal, professional, and organizational dimensions of faculty members' roles. The purpose of the current study is to gain new insights into the factors that contribute to or stand in the way of the professional growth and development of academicians. It is anticipated that an improved understanding of the interaction between professional faculty members and universities will be helpful to institutional researchers, administrators, and faculty members who are interested in designing environments that lead to the maximization of all institutional resources--especially faculty members.

Using a large, private university in the Northeast with approximately 16,000 students and 800 faculty members, a random sample of 5 percent of the faculty stratified by the ranks of assistant, associate, and full professors was selected. Interviews were held with 39 professors for the purpose of gathering data about their perceptions of various aspects of their professional growth and development. A structured interview schedule consisting of 42 questions was built around seven sets of constructs which relate to organizations. These constructs were viewed to be particularly relevant in studying the process components of faculty members' roles. The seven sets of constructs included the works of 1) Maslow, 2) Porter, 3) Carpenter and Strawser, 4) Argyris, 5) Lewin, 6) Herzberg, and 7) Gouldner. In addition to these constructs, research about faculty development which was completed by Simerly, Gaff and

Diagram I

COMPONENTS OF AN OVER-ALL CONCEPT
OF FACULTY DEVELOPMENT

Dimensions of Faculty Development	Conceptual Components	Process Components
Personal	Adult Life Stages	Human motivation Individual growth changes Adaptability Attitudes
Professional	Career Path	Tenure-Promotion Socialization to role Local-cosmopolitan reward orientations Mobility within profession
Organizational	College and University Environment	Organizational mobility Adaptive techniques Real and perceived reward systems Organizational conflict management Curriculum reform

Wilson, and Bergquist and Phillips also provided guidelines for procuring important data.

INDIVIDUAL NEEDS

Twelve interview questions were based on Maslow's (1954) hierarchy of individual needs which posits that the desire to satisfy basic needs is the prime motivating force underlying individual behaviors. This conceptual framework has been tested in numerous organizations. Maslow contends that people seek to fulfill their needs in a hierarchal fashion--physiological, security, social, esteem, and self-actualization--and that a higher level need will serve as a motivator only after a lower level need has been reasonably well met.

Porter (1961) has devised instrumentation for measuring the present level of basic need fulfillment as well as the desired level of need satisfaction. Although Porter has applied this instrumentation to numerous organizational settings, few researchers have used it in the field of education. Sergiovanni and Trusty (1971) have applied this instrument to public school personnel. Carpenter and Strawser (1971) have administered a modified form to accounting professors. While Porter's instrument differentiates between the existing and desired levels of basic need fulfillment to determine a "need satisfaction" score, Carpenter and Strawser label this needs differentiation as a measure of "need discrepancies."

A portion of the research described in this paper also focuses on need discrepancies. Diagram 2 illustrates the discrepancy scores that were derived from the members of the sample for each need category. A low score shows that there is little discrepancy between the existing level of need fulfillment and the desired level of satisfaction. The assumption then is made that

INTERVIEW QUESTIONS

On the rating scale, would you indicate. . .

. . .how much self-fulfillment or sense of worthwhile accomplishment you presently have as a faculty member?

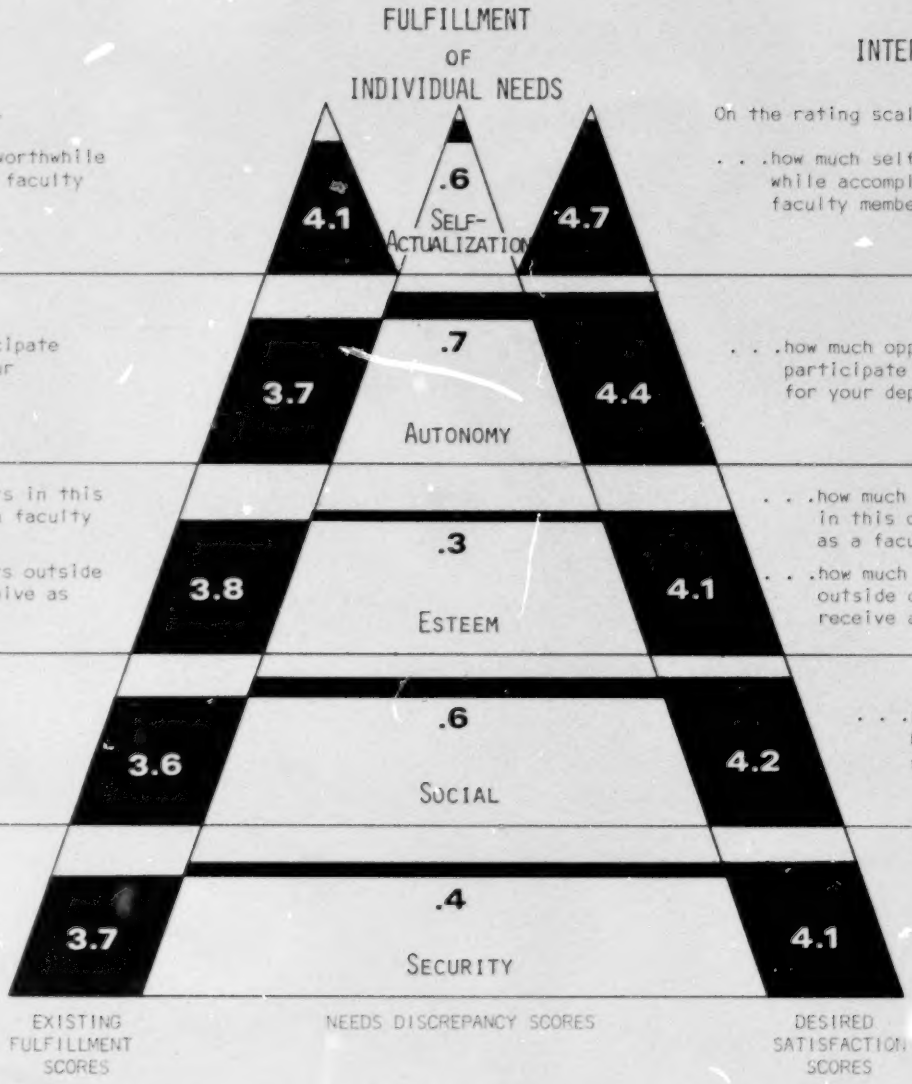
. . .how much opportunity you have to participate in setting goals and objectives for your department?

. . .how much prestige and regard from others in this organization you presently receive as a faculty member?

. . .how much prestige and regard from others outside of this organization you presently receive as a faculty member?

. . .how much opportunity you have for developing close friendships in this organization?

. . .how much security you feel you have in this organization?



INTERVIEW QUESTIONS

On the rating scale, would you indicate. . .

. . .how much self-fulfillment or sense of worthwhile accomplishment you should have as a faculty member?

. . .how much opportunity you should have to participate in setting goals and objectives for your department?

. . .how much prestige and regard from others in this organization you should receive as a faculty member?

. . .how much prestige and regard from others outside of this organization you should receive as a faculty member?

. . .how much opportunity you should have for developing close friendships in this organization?

. . .how much security you feel you should have in this organization?

RATING SCALE

1 2 3 4 5

Low B.Avg. Avg. A.Avg. High

Diagram 2

a larger discrepancy score represents a smaller degree of satisfaction for that basic need category. (Carpenter, p. 513)

Our study reveals that faculty have the lowest discrepancy score (.3) and thus the greatest satisfaction with their work in the esteem category. This includes the amount of prestige and regard professors think they receive from their employing organization as well as what they receive from their profession at large. The largest discrepancy score (.7) and thus the least satisfaction with their work occurs in the autonomy category with the social and self-actualizing categories revealing discrepancy scores that are almost as high (.6).

Even though we see lower and higher discrepancy scores between existing levels of need fulfillment and desired levels of need satisfaction, the verbal comments from the majority of professors in our sample indicate that their individual needs are generally satisfied.

Typical of the comments made by the faculty members in our study about need fulfillment is the following:

> I think I have done the right thing in life. I am in the right place; I stand sufficiently rewarded for what I have done. I have no alternatives in my mind. In other words, I am doing exactly what I should be doing and the daily frustrations or other things are just part of life. I feel if I die tomorrow my last comment will be, "Yes, I led a satisfactory life as far as my professional life is concerned." I wanted it that way and I wish everyone could be that happy. Even if I don't know if my contribution is that great, I still won't be frustrated--I am too old for that.

ORGANIZATIONAL GOALS

Three interview questions were developed around Argyris' (1957) theory of the incompatibility between individual needs and organizational goals. Argyris believes that it is absolutely essential for the inevitable conflict between the needs of the individual and the demands of the organization to be acknowledged, discussed, and managed. He says that an effective organization is one that achieves goals, maintains itself internally, and adapts to its environment.

The data from our research reveal that the faculty members in the sample understand their departmental goals and objectives very well, but their satisfaction with these goals and objectives is only average. Fortunately, they seem concerned about the situation and express considerable interest in altering these goals and objectives. Specifically, assistant professors report the most satisfaction with the goals and objectives, yet they express the greatest interest in changing them. Associate professors, on the other hand, indicate less satisfaction with the goals and objectives and as a group are the least interested in altering them, while full professors show the least satisfaction but are more interested in change.

These data imply that there is a willingness on the part of faculty to examine their departmental goals and objectives and to work for change where necessary. Such a re-examination and/or alteration might very well reduce the incompatibility between individual needs and departmental goals for this group of university professors. It is also important to note, however, that one of the things faculty understand is that goals are often vague and not expressed.

Typical of the comments about departmental goals and objectives made by members of our sample is the following:

> I think I understand that they are very poorly defined at best, but I understand that pretty well.

TEACHING, RESEARCH, AND SERVICE

Nine interview questions were developed from field analysis theory by Lewin (1947) and faculty development research by Simerly (1973) and Gaff and Wilson (1975). Lewin's theory posits that change is the result of an imbalance between two sets of opposing forces--driving forces that push for change and restraining forces that discourage change. He also contends that patterns of

human behavior are in constant dynamic equilibrium and that it is crucial to analyze the forces that work on individuals at a particular point in time in order to learn where change, such as a faculty development program, might be introduced.

Gaff and Wilson surveyed 1,000 professors about various aspects of faculty development and concluded that most faculty do not think that teaching is regarded as important in their respective organizations. Neither do they think that good teaching performance is rewarded. They also identify faculty development programs as a viable vehicle for raising faculty consciousness about teaching, expanding knowledge of alternative teaching technologies, and increasing teaching skills. Simerly's research confirms this.

Our findings support the results of the Gaff-Wilson study and Simerly's earlier research. Over half of the professors in the present study believe that teaching comprises the major focus of their professional activity. In addition, they think that teaching-related activities contribute the most to their professional development. However, they do not think that teaching and working with students is as likely to result in tenure and promotion as is research that leads to publication.

When asked about the type of support provided for teaching, research, and service, a majority of responses referred to items like funds, resources, and facilities--items that Herzberg (1966) would undoubtedly categorize as hygiene factors because they tend to satisfy the lower-order needs on Maslow's hierarchy. On the other hand, professors see considerably less support in terms of encouragement, freedom, promotion and tenure--items that Herzberg would refer to as motivation factors or satisfiers of the higher-order needs on Maslow's hierarchy. Our data clearly imply that the university does a better job of helping its faculty members to avoid dissatisfaction than it does of helping them to achieve satisfaction.

When asked about the aspects of the working environment in general that promote protessional growth and development, again over half of the responses from our sample referred to hygiene factors such as the library, other physical facilities, leaves of absence, research funds, and support personnel. More than one-fourth of the comments mentioned human factors such as students and colleagues, and the remaining remarks referred to motivation factors like a positive university attitude, individual autonomy, and personal motivation. The data from Simerly's study revealed basically the same results.

These data constitute a two-sided coin, however. While the above-mentioned factors are believed to promote professional growth and development, the absence of such factors is perceived to hinder growth and development. For example, lack of psychological support from the university, lack of personal motivation, and work overload were mentioned in half of our responses as blocking growth and development. Such things as inadequate facilities and lack of money for research, travel, secretaries, and graduate assistants were cited as a hinderance in more than one-fourth of the comments. Lack of colleagiality was discussed as a hindering factor in the remainder of the responses.

Faculty members are very conscious of the driving/restraining forces that affect their growth and development in teaching, research, and service. Typical of the comments made about these three areas of the promotion and tenure system is the following:

> In terms of encouragement, talk is cheap. There is a lot of encouragement for teaching. When it gets down to money and promotion, it's not quite so high as far as teaching goes. In terms of research, there's a lot of encouragement for research and publication. It's primarily promotion and tenure but also the availability of research funds and applying for grants. So the university does give a lot of support. There is some acknowledgement on the basis of debates in faculty meetings about the ambivalence about service to the university. One segment thinks that service to the department, to the university, is very important; others say it's not so important and let's not put too much emphasis on it.

REWARD SYSTEMS

Nine interview questions investigated various dimensions of the reward system. These questions were developed from Lewin's theory of field analysis as well as from Gouldner's (1957) local/cosmopolitan theory of rewards. Gouldner views cosmopolitans as individuals whose committment is essentially to the profession at large and locals as those who exhibit primary loyalty to the organization.

The professors in our sample report that they have a below average satisfaction with their monetary rewards. However, they have an above-average satisfaction with other rewards such as academic and personal freedom; tuition for spouses and children, insurance, retirement benefits, travel allowances; interaction with students and colleagues; recognition, prestige, regard, and the promotion and tenure possibilities. There is one notable exception to this general trend, however. Associate professors reported the least satisfaction with the reward system and indicated that they believe the overall university reward structure hinders their growth and development more than it helps.

In general the faculty members said they would like to see a greater clarification of the reward system that would provide for more flexibility and allow for greater emphasis to be placed on teaching and working with students. In addition, they would like greater psychological support from the university in terms of recognition, appreciation, and greater interest in them as faculty members.

Almost half of the professors in this study think that they acquire their rewards equally from the university and from the profession at large. Over one-fourth of the professors believe that most of their rewards come from outside of the university while the remaining one-fourth of the professors

think that the majority of their rewards come from inside of the university. As might be expected, full and associate professors are more likely to view their profession as the major source of rewards than are their junior level colleagues. Three-fourths of the faculty members envisi- outside rewards to consist of tangible activities like lecturing or speaking at conferences, conventions, and seminars; or writing books, articles, and other publications. A few talk about consulting jobs such as working for the Public Employment Relations Board, setting up labs in foreign countries, or refereeing papers for journals. Some include personal accomplishments like exhibits, performances, private practices, and research grants as a source of tangible outside rewards. Only one-fourth of the comments about outside rewards refer to intangible factors that have a common thread of recognition, prestige, and regard.

Typical of the comments that faculty members made about the rewards system is the following:

> I like the freedom I have to choose my hours--to work when I want to work and to do what I want to do. I have pretty good leeway on that. I can't teach at 3 in the morning, but I can work at 3 in the morning. It's also personal freedom--I can dress like this and wear sloppy pants and Beethoven shirts and do what I want to do. If they don't like it the worst thing they can do is not promote me, and that's not the worst thing in the world either. If I was very straight, being nice to people even when I didn't like them, I'd get promoted earlier and have bigger salary increases, but even that's marginal. It's not like the business world where if you don't do that you're out--goodby!

Thus the things that faculty members tend to like most about the reward system are the things that contribute to their autonomy, their fringe benefits and their interaction with people. The things that faculty members like least about the reward system are inadequate salaries and other tangible items such as inadequate services and physical facilities.

TEACHING CHANGES

Five interview questions were based on a portion of Simerly's (1973) research that identified various aspects of professional growth and development resulting from teaching changes made by professors at a state university in the South. Simerly found that the major change was an alteration in teaching methodology that de-emphasized the lecture method. This change was generally triggered by interaction with colleagues and feedback from informal student evaluations.

The present research also reveals that the majority of changes in teaching were in the methodological area; and they included the way information was delivered, the use of different materials, and the individualization of instruction. Other changes in teaching referred to alterations in course content or the curriculum. An overwhelming majority of the professors felt that the changes they had made in their teaching resulted in a positive impact on them as well as on their students.

People were cited most frequently as the change agents, and these people included the professors themselves as well as their peers, students, and department chairpersons. New horizons in the profession and "keeping up with the times" were mentioned as events that were responsible for change. The faculty members evaluated their changes both formally and informally with more responses alluding to informal judgments derived from student comments, colleague feedback, student productivity, and personal political prowess. A considerable number of responses, however, reflected the use of formal evaluation practices like questionnaires, exam scores, and experimental research to ascertain the value of their teaching changes.

These data show that changes in the teaching process are viewed to be more important than changes in course content, and such process changes come

about largely because of other people. Faculty members place a positive value on these changes and are attempting to evaluate the effects of their change efforts.

Typical of the comments that professors made about changes in their teaching is the following:

> The desire for promotion was not unimportant in making the change in my teaching. That's carrying a stick over you and it is of some consequence. Also crucial in the promotion process is the student input. Unfortunately, students who get along with you are not verbose about it. The correct strategy for getting promoted as soon as possible is not to rock the boat--don't make waves, don't take risks, don't do new things. Whenever I do new things, those who like it shut up, but those who hate it say so. I decided not to fight the battles any more. I'll get promoted and then maybe go back to my old way of teaching.

FACULTY DEVELOPMENT

The last four questions on the interview schedule were based on Bergquist and Phillips' (1975) work and a portion of Simerly's (1973) study. Bergquist and Phillips contend that faculty development can be accomplished through a comprehensive program which includes development in the personal, instructional, and organizational dimensions. Simerly suggests that faculty development should be a continuous, on-going program focusing on the process of faculty development rather than on specific content.

The results of the present research reveal that 87 percent of the professors report no faculty development program in their department, 10 percent are not sure whether they have one or not, and 3 percent say that there is a program in the department. Only two professors expressed total lack of interest in faculty development activities--one was nearing retirement and the other had just learned that his program was being eliminated. Simerly also reported that the majority of professors in his study said that there was no faculty development program at their institution. However, he found

somewhat less interest in a planned program--only 26 percent of the sample were interested in having a faculty development, 52 percent were unsure, and 12 percent didn't want one.

While the professors in the present study rated their interest in faculty development very high, it is interesting to note that the assistant professors reported the greatest amount of interest followed by associate and full professors respectively.

When asked to identify the people who should be responsible for initiating a faculty development program, 54 percent of the respondents mentioned the departmental chairperson, with some help from the faculty. Thirty-three percent of the professors thought that the faculty themselves should be the initiators, and 10 percent of the sample saw it as the dean's job. Only 3 percent of the professors felt professional growth and development should be an individual responsibility and there was no need for a planned program.

The professors in this study discussed numerous aspects of a planned faculty development program, but nearly three-fourths of their responses expressed interest in increased sharing with colleagues, more encouragement from the university, and greater assistance for improving instruction. One-fourth of the comments indicated a desire for improved financial assistance and relief time. Simerly's data revealed approximately one-fourth of the sample not knowing what to include in a faculty development program, one-fourth requesting sabbaticals and conventions, one-eighth concerned with individualized programs, and the remainder wanting assistance with their teaching.

Analysis of the data from the present study clearly indicates that faculty members see a real need for assistance in becoming more effective and efficient in the tasks they encounter as faculty members. They have

some definite ideas about who should take the lead and what a program should include, and they are adamant about designing a flexible program that deals with individual concerns rather than a rigid one that forces everyone into the same mold. Many professors offered their help in planning any faculty development program that would help them become better at what they do.

Typical of the comments that these professors made about faculty development is the following:

> If industries have development programs why not universities? One of the members of our department who has been here for 20 years gets negative feedback on his teaching. It's too bad. Rather than lamenting about it, why isn't someone working with him to review his teaching and perhaps helping him to improve. After all, we recognize he'll probably be around for another 20 years. That would be part of a development program and there is no reason why experts can't be brought in or otherwise secured so as to help people improve in all areas.

CONCLUSIONS AND IMPLICATIONS

In summary, our study reveals the following information about the majority of the faculty members:

1. They are generally satisfied with the over-all fulfillment of their individual needs. Specifically, they experience the most satisfaction in the area of esteem needs and the least satisfaction in the area of autonomy needs. In addition, self-actualization and social needs provide less satisfaction than security needs.
2. They understand the goals and objectives of their departments very well, but they have only an average amount of satisfaction with them. Frequently, they find the goals and objectives to be vague or poorly articulated, but they are interested in working to change the situation.
3. They view teaching activities as the source of central activity and satisfaction in their professional lives. However, they do <u>not</u>

believe that quality teaching is instrumental in gaining their tenure and promotion.

4. They believe that the university does a better job of helping them to avoid dissatisfaction than it does in helping them to achieve satisfaction. More precisely, the university tends to provide support for their concrete, lower-order needs and not supply it for their psychological, higher-order needs.
5. They are not very satisfied with the monetary rewards they receive from the university, but they tend to be satisfied with the other tangible rewards and the psychological rewards that are provided. In general, they would like to see more clarity and greater flexibility within the reward system.
6. They have made the most changes in their teaching by altering their methodology so that information is delivered in a variety of ways. Overall, they are pleased with the changes they have made and believe that their students are too. It is interesting to note that most professors attempt in some way to evaluate the success or failure of their teaching changes.
7. They report that practically none of their departments provide planned faculty development programs. However, they are very interested in such programs and express a willingness to participate in them. Most professors believe that the department chairperson should be responsible for initiating a faculty development program, and they are adamant about maintaining flexibility to accommodate individual concerns.

Our study has several implications for institutional researchers who are often asked to provide information about faculty to institutional policymakers. Although a number of computerized ways for reporting faculty load have

been devised, little has been done to develop procedures for reporting other kinds of information about faculty. While faculty load data certainly are very necessary, they are far from sufficient for the university that is concerned with the best utilization of one of its largest human resources--the faculty.

According to Warden (1974), institutional research has been very limited in the past and has had little if any impact on unit planning and virtually no impact on faculty improvement. In addition, institutional researchers are frequently viewed as "the enemy" because they are an extension of central administration, and as a result they tend to be isolated from academic goals and faculty concerns.

Warden is also among those who speak about the need for expanding institutional research. She says that "any method used to gather data on faculty activity should permit analysis of a wide range of activity categories and related intended outcomes." (p. 463) It is our contention that an important dimension of this wide range of institutional research activity is the inclusion of faculty concerns about their professional growth and development. Not only should there be a vehicle, such as the one described in this paper, for gathering and reporting this information, but this valuable part of institutional research should be fed back to faculty members themselves.

In addition to increasing the worth of the institutional researcher's data bank, such faculty-centered research would undoubtedly result in a number of other very positive outcomes. Warden (p. 471) suggests that faculty would probably become more productive as a result of being in the experimental spotlight (the Hawthorne effect) and that faculty attitudes toward central administration are likely to improve because institutional researchers would no longer be viewed as the "bad people." Also, faculty members might start

to view reallocated priorities and limited resources as a challenge to their ingenuity rather than as a barrier to the execution of their work.

We believe that this new dimension of institutional research would lead to a better integration of individual needs and organizational goals as well as an improved correlation between reward systems and desired outcomes. Faculty members would have greater incentive and more support to change, grow, and develop in their various roles.

Certainly universities can profit a great deal if institutional researchers begin to seek information that allows them to analyze what might happen in addition to data that permits them to justify what already exists.

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